

# **EXHIBIT A**

4729346 - CHAKRAVARTY, PRAVEEN  
Reportable Events  
Regulator Archive and Z Records

3  
9  
10

TWPL00001177

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 1

#### Notice

CRD® or IARD(SM) Information: This report contains information from the CRD (Central Registration Depository) system, or the IARD system (Investment Advisers Registration Depository), which are operated by FINRA, a national securities association registered under the Securities Exchange Act of 1934. The CRD system primarily contains information submitted on uniform broker-dealer and agent registration forms and certain other information related to registration and licensing. The IARD system primarily contains information submitted on uniform investment adviser and agent registration forms and certain other information related to registration and licensing. The information on Uniform Forms filed with the CRD or IARD is deemed to have been filed with each regulator with which the applicant seeks to be registered or licensed and shall be the joint property of the applicant and such regulators. The compilation constituting the CRD database as a whole is the property of FINRA. Neither FINRA nor a participating regulator warrants or guarantees the accuracy or the completeness of the CRD or IARD information. CRD information consists of reportable and non-reportable information. FINRA operates the CRD system in its capacity as a registered national securities association and pursuant to an agreement with the North American Securities Administrators Association, Inc. (NASAA). FINRA operates the IARD system as a vendor pursuant to a contract with the Securities and Exchange Commission and undertakings with NASAA and participating state regulators. Reportable Information: Information that is required to be reported on the current version of the uniform registration forms. Non-Reportable Information: Information that is not currently reportable on a uniform registration form. Information typically is not reportable because it is out-of-date; it was reported in error; or some change occurred either in the disposition of the underlying event after it was reported or in the question on the form that elicited the information. Although not currently reportable, this information was once reported on a uniform form and, consequently, may have become a state record. Users of this information should recognize that filers have no obligation to update non-reportable data; accordingly, it may not reflect changes that have occurred since it was reported.

TWPL00001178

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 2

Details for Request# 4496509  
Report: Snapshot - Individual

Parameter Name	Value
Request by CRD # or SSN:	CRD #
Individual CRD # or SSN	4729346
Include Personal Information?	Yes
Include All Registrations with Employments:	Both Current and Previous Employments
Include All Registrations for Current and/or Previous Employments with:	All Regulators
Include Professional Designations?	Yes
Include Employment History?	Yes
Include Other Business	Yes
Include Exam Information?	Yes
Include Continuing Education Information?	Yes
Include Filing History?	Yes
Include Current Reportable Disclosure Information?	Yes
Include Regulator Archive and Z Record Information?	Yes
Is this a Pre-Registration Report Request?	No
User Initials	KS

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TWPL00001179

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Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 3

Individual: 4729346 - CHAKRAVARTY, PRAVEEN

Administrative Information:

Composite Information:

Full Legal Name: CHAKRAVARTY, PRAVEEN

Year of Birth: 1973

State of Residence: <<No Current Active Employments for this Individual.>>

Reportable Disclosures?

The specified individual has no disclosure that qualifies for reporting under this section (i.e., disclosure required to be reported on Form U-4 or Form U-5). Regulatory and Broker/Dealer Users: Please note that there are three types of disclosure in Web CRD: Reportable, Legacy and Archive disclosure. An individual with no reportable disclosure may or may not have Legacy or Archive disclosure. Investment Adviser Users: Please note that IARD does not include Legacy disclosure. Information reported on previous form filings through IARD is available under Filing History.

Statutorily Disqualification? CLEAR

Registered With Multiple Firms? No

Material Difference in Disclosure? No

Personal Information:

Individual CRD#: 4729346

Other Names Known By: <<No Other Names found for this Individual.>>

Year of Birth: 1973

Registrations with Previous Employer(s):

From 08/25/2003 To 11/07/2007 THOMAS WEISEL PARTNERS LLC(46237)

Reason for Termination: \* Discharge

Termination Comment: VIOLATION OF COMPANY POLICY.

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TWPL00001180

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 4

Individual: 4729346 - CHAKRAVARTY, PRAVEEN

Administrative Information:

## Registrations with Previous Employer(s) (cont):

Regulator	Registration Category	Status Date	Registration Status	Approval Date
AMEX	GS	11/08/2007	TERMED	01/21/2004
ARCA	GS	11/08/2007	TERMED	10/14/2004
CA	AG	11/08/2007	TERMED	04/05/2004
FINRA	GP	11/08/2007	TERMED	09/26/2005
FINRA	GS	11/08/2007	TERMED	01/21/2004
FINRA	RP	11/08/2007	TERMED	05/29/2007
FINRA	RS	11/08/2007	TERMED	03/04/2005
MA	AG	11/08/2007	TERMED	04/05/2004
NQX	GP	11/08/2007	TERMED	07/12/2006
NQX	GS	11/08/2007	TERMED	07/12/2006
NY	AG	11/08/2007	TERMED	04/05/2004
NYSE	GS	11/08/2007	TERMED	01/21/2004
NYSE	RS	11/08/2007	TERMED	03/04/2005

## Professional Designations:

&lt;&lt; None found for this Individual: CHAKRAVARTY, PRAVEEN &gt;&gt;

## Employment History:

From 08/2003 To Present:	Name: THOMAS WEISEL PARTNERS LLC Location: MUMBAI, INDIA Position: DIRECTOR Investment Related: Yes
From 08/2001 To 07/2003	Name: WHARTON BUSINESS SCHOOL Location: PHILADELPHIA, PA USA Position: MBA STUDENT Investment Related: No
From 07/1999 To 07/2001	Name: MICROSOFT CORPORATION Location: BANGALORE, INDIA Position: MARKETING MANAGER Investment Related: No

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TWPL00001181

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 5

Individual: 4729346 - CHAKRAVARTY, PRAVEEN

Administrative Information:

Employment History (cont) :

From 07/1994 To 07/1999	Name:	IBM CORPORATION
	Location:	BANGALORE, INDIA
	Position:	PRODUCT MANAGER
	Investment Related:	No
From 08/1990 To 06/1994	Name:	BIRLA INSTITUTE OF TECHNOLOGY
	Location:	PILANI, INDIA
	Position:	UNDERGRADUATE STUDENT
	Investment Related:	No

Office of Employment History:

From 08/2003 To 11/2007

Name:	THOMAS WEISEL PARTNERS LLC (46237)
Independent Contractor:	No

Office of Employment Address:

CRD	NYSE Branch	Firm	Billing	Address	Address	Address
Branch #	Code	Number	Code	Start Date	End Date	Address
118143	018			08/25/2003	11/07/2007	55/56, FREE PRESS HOUSE 215, FREE PRESS JOURNAL MARG, NARIMAN MUMBAI, 400 021 INDIA

Registered Location? Y Type of Office: Located At

Other Business:

<<No Other Business found for this Individual.>>

Examination Information:

Exam	Status	Status Date	Exam Date	Grade	Score	Window Dates
S24	OFFICIAL_RESULT	09/26/2005	09/23/2005	PASSED	73	09/16/2005-01/14/2006

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TWPL00001182

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CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 6

Individual: 4729346 - CHAKRAVARTY, PRAVEEN

Administrative Information:

Examination Information (cont):

Exam	Status	Status Date	Exam Date	Grade	Score	Window Dates
S63	OFFICIAL_RESULT	04/05/2004	04/02/2004	PASSED	80	01/21/2004-05/20/2004
S7	OFFICIAL_RESULT	01/21/2004	01/19/2004	PASSED	88	11/14/2003-03/13/2004
S86	OFFICIAL_RESULT	03/04/2005	03/03/2005	PASSED	84	05/12/2004-04/04/2005
S87	OFFICIAL_RESULT	02/28/2005	02/25/2005	PASSED	76	05/12/2004-04/04/2005

CE Regulatory Element Status:

Current CE Status: SATISFIED

CE Base Date: 01/21/2004

Current CE

<<No Current CE Session Found >>

Next CE

Requirement Window	Requirement Type	Session
01/21/2009-05/20/2009	Anniversary	201

CE Directed Sequence History

<<No CE Directed Sequence History Found for this Individual.>>

Inactive CE History Dates

<<No Inactive CE History Found for this Individual.>>

Previous CE Requirement Status

Requirement Type	Status	Previous Window	Session	Status Date	Result
Anniversary	SATISFIED	01/21/2006-05/20/2006	201	04/18/2006	04/18/2006-CMPLT
Anniversary	REQUIRED	01/21/2006-05/20/2006	201	01/23/2006	01/23/2006-

Filing History:

Filing Date	Form Type	Filing Type	Source
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TWPL00001183



CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 7

Individual: 4729346 - CHAKRAVARTY, PRAVEEN

Administrative Information:

Filing History (cont):

Filing Date	Form Type	Filing Type	Source
11/08/2007	U5	FULL	Org CRD# 46237 THOMAS WEISEL PARTNERS LLC
05/29/2007	U4	AMENDMENT	Org CRD# 46237 THOMAS WEISEL PARTNERS LLC
07/29/2006	U4	CONVERSION	Org CRD# 46237 THOMAS WEISEL PARTNERS LLC
02/07/2006	U4	AMENDMENT	Org CRD# 46237 THOMAS WEISEL PARTNERS LLC
09/15/2005	U4	AMENDMENT	Org CRD# 46237 THOMAS WEISEL PARTNERS LLC
10/14/2004	U4	ADMIN	Org CRD# 46237 THOMAS WEISEL PARTNERS LLC
05/11/2004	U4	AMENDMENT	Org CRD# 46237 THOMAS WEISEL PARTNERS LLC
01/20/2004	U4	AMENDMENT	Org CRD# 46237 THOMAS WEISEL PARTNERS LLC
11/13/2003	U4	INITIAL	Org CRD# 46237 THOMAS WEISEL PARTNERS LLC

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001184

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Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 8

Individual: 4729346 - CHAKRAVARTY, PRAVEEN

Administrative Information:

Number of Reportable Events:

<<No Reportable Events found for this Individual.>>

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CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001185

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CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 9

Individual: 4729346 - CHAKRAVARTY, PRAVEEN

Reportable Events:

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<<No Reportable Events found for this Individual.>>

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CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

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TWPL00001186

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Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008 Page 10

Individual: 4729346 - CHAKRAVARTY, PRAVEEN

Regulator Archive and Z Records:

<<No Regulator Archive and Z Records found for this Individual.>>

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001187